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Attorney Docket No. 12640 US01

PATENT
RECEIVED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APR 13 2000

Group 2700

In the Application of:

Carey et al.

Serial No. 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING
SECURITIES FOR A PORTFOLIO

Examiner: Not yet assigned

Group Art Unit: 2768



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on April 6, 2000.

By:

Lawrence M. Jarvis
Reg. No. 27,341

**TRANSMITTAL OF
INFORMATION DISCLOSURE STATEMENT
AFTER APPLICATION FILING DATE**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

ENCLOSURES

Enclosed are the following:

- * A completed PTO form 1449 (modified) which has one page.
- * A copy of each printed or patented reference listed in the enclosed form 1449 and not previously provided to or by the PTO in this application. Seven (7) references are enclosed.

FEE DETERMINATION

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- * No fee is believed to be due because:
 - * This statement and enclosures are being filed three months or less after the application was filed.
 - * The applicant(s) believe(s) that this statement and enclosures are being filed before the first Office action on the merits has been mailed by the PTO. The basis of this belief is that no Office action on the merits appears to have been received by the undersigned to date.

FEE PAYMENT

The following arrangements have been made to pay the fees calculated above:

- * No fee is believed to be due.

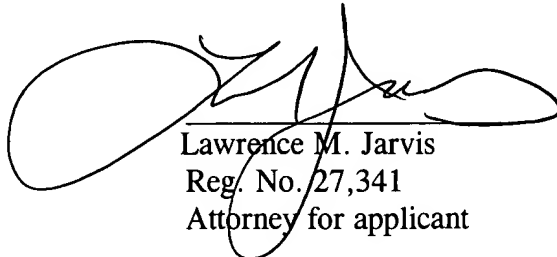
The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017.

REQUEST FOR CONSIDERATION

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above. The Examiner is requested to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicants to indicate consideration of the enclosed references.

Respectfully submitted,

Dated: April 6, 2000



Lawrence M. Jarvis
Reg. No. 27,341
Attorney for applicant

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